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STATE OF CALIFORNIA
ARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: ISU	Division: Southern	Number: 509
Evaluated by: Sergeant E	ric Lee, #12707	Date: 12/18/2008
Assisted by: OSSII Lucia	Callejas, #A9541	Date: 12/18/2008

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Division Level Command Level Executive Office Level ☐ Voluntary Self-Inspection Date: Follow-up Required: Commander's Signature: Follow-up Inspection ☐ Yes ⊠ No For applicable policy, refer to: HPM 11.2, Chapter 7 Are participants in the procurement process at the Remarks: command level familiar with the related policies and □ No □ N/A procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: procurement training? ☐ No □ N/A Remarks: Are prohibited items procured on CHP 43, Purchases Requisitions? ☐ Yes ⊠ No □ N/A Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet Are separate CHP 43s, Purchase Requisitions, Remarks: prepared for commodity items obtainable from X Yes ΠNo □ N/A different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: Purchase Requisition? Yes ☐ No □ N/A 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: consecutively, starting anew at the beginning of each ✓ Yes ΠNo □ N/A fiscal year (July 1)? Are expedited requests for the purchase of goods Remarks: forwarded to the Assistant Commissioner, Staff, for ☐ No □ N/A approval?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy.

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks
Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□ No	□ N/A	Remarks:
Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□ No	□ N/A	Remarks: See remarks at the bottom of page 3.
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	□No	□ N/A	Remarks: See remarks at the bottom of page 3
Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	⊠ Yes	□ No	□ N/A	Remarks:
Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□ No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks:
Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□ No	□ N/A	Remarks: If damage is not immediately apparent and the driver no longer available, the vendor is contacted.

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

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	20.	Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks:
	21.	Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time? (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks: The Command has a suspense system to track purchase orders.
	22.	Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
	23.	Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks: Through the CHP 43 and email correspondences.
	24.	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

11 & 12 – Prior to the Oct 2008, procurement training, the Command was misinterpreting the Limited Competitive Bidding purchase process specific to brand and model as prescribed by SAM 3555 & 3555.3. The Command is currently in complaince.

ATE OF CALIFORNIA

- PARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: ISU	Division: Southern	Number: 509
Evaluated by: Sergeant Eric Lee, #12707		Date: 12/18/2008
Assisted by: OSSII Lucia Callejas, #A9541		Date: 12/ 18/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYOU OF HOOF OFFICE						
TYPE OF INSPECTION	Lead Inspector's Signature:					
☐ Division Level ☐ Command Level	In fee					
☐ Executive Office Level ☐ Voluntary Self-Inspection	Low flow					
Follow-up Required:	Commander's Signature: Date:					
☐ Yes ☐ No	la 12.50.5					
For applicable policy, refer to: HPM 11.1, Chapter 22						
<ol> <li>Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?</li> </ol>	Yes No N/A Remarks:					
Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	☐ Yes ☑ No ☐ N/A Remarks:					
<ol> <li>Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "<u>CP" for contract payable</u> listed on the CHP 78?</li> </ol>	Yes No N/A Remarks:					
4. Is the performance of contract services monitored and documented?	☐ Yes ☐ No ☐ N/A Remarks:					
5. Are all copies of correspondence with the vendor maintained?						
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	☐ Yes ☐ No ☐ N/A Remarks:					
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?						
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	☐ Yes ☐ No ☐ N/A Remarks:					

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

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9	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	⊠ Yes	□ No	⊠ N/A	Remarks:
1(	). Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
11	. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□No	□ N/A	Remarks:
	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□ No	□ N/A	Remarks:
	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:
	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□ No	⊠ N/A	Remarks: The Command has not experienced any such instances.
18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□ No	□ N/A	Remarks:
	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□ No	□ N/A	Remarks:
20.	Are contract amendment request dollar amounts increased more than 30%?	☐Yes	□No	⊠ N/A	Remarks: The Command has not experienced any such need.

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

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21. Is the length of the contract amendment request more than one year?	☐ Yes	□No	⊠ N/A	Remarks: The Command has not experienced any such instances.
22. Are amendments requested before the expiration of the original contract?	☐ Yes	□ No	⊠ N/A	Remarks: The Command has not experienced any such instances.
23. Is a service contract on a CHP 78, Contract Request, initiated for any commercial meeting/conference room rental, which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□No	⊠ N/A	Remarks: The Command has had no such rentals.
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□ No	⊠ N/A	Remarks: The Command has had no such rentals.
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	☐ Yes	□No	⊠ N/A	Remarks: Other than janitorial services, the Command has had no such services. Janitorial services are provided by the Department of General Services.
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	Yes	□ No	⊠ N/A	Remarks: The Command has had no contract or specially assigned personnel who meet this criteria.

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### COMMAND INSPECTION PROGRAM

**INSPECTION CHECKLIST** 

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	27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	□No	⊠ N/A	Remarks: The Command has no contractors/personnel meeting this requirement.
	28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□No	⊠ N/A	Remarks: The Command has experienced no such instances.
	29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
	30. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□No	□ N/A	Remarks:
ļ	31. Is a computer file prepared for all contracts administered?	⊠ Yes	□No	□ N/A	Remarks:
	32. Is a spreadsheet prepared listing all expenditures?	⊠ Yes	□No	□ N/A	Remarks:
	33. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks:
	34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks:
	35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks: The Command has had no consultant service contracts.
	36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	Yes	⊠ No	□ N/A	Remarks: The Command has had no consultant service contracts.
	37. Does contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4,09)	⊠ Yes	□ No	□ N/A	Remarks:
	38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	⊠ Yes	□ No	□ N/A	Remarks:
	39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

### JOMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: ISU	Division: Southern	Number: 509		
Evaluated by: Sergeant Eric Lee, #12707		Date: 12/18/2008		
Assisted by: OSSII Lucia (	Callejas, #A9541	Date: 12/18/2008		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE	TYPE OF INSPECTION			ector's Signa	ture:	
	Division Level	□ Command Level		5		/
	xecutive Office Level	☐ Voluntary Self-Inspection	_	mi	7/3	e
F [	ollow-up Required: ☐ Yes         No	Follow-up Inspection	Command	der's Signatur	e: - <u>e</u> > <i>C</i>	Date:
For a	applicable policy, refer to	o: HPM 11.2, Chapter 3				
	Card program completi Interest Statement, Em	ciated with the use of the Cal- ng the CHP 78S, Conflict of ployee, form?	⊠ Yes	□No	□ N/A	Remarks: As of the Oct. 2008 Procurement Training.
2	Are STD. 21 Drug Free maintained within the C each vendor utilized?	Workplace certifications all Card command file for	⊠ Yes	□ No	□ N/A	Remarks: As of the Oct. 2008 Procurement Training.
3.	Are STD, 204 Payee Din the Cal Card comma utilized?	ata Record forms maintained nd file for each vendor	⊠ Yes	□No	□ N/A	Remarks: As of the Oct. 2008 Procurement Training.
4.	Are California Integrate Form 74 documents ma utilized?	d Waste Management Board iintained for each vendor	⊠ Yes	□ No	□ N/A	Remarks:
5.	is the certification letter General Services maint	ained in the file?	⊠ Yes	☐ No	□ N/A	Remarks:
6.	reasonable method doc justified?		⊠ Yes	□ No	□ N/A	Remarks:
	to circumvent transactio		☐ Yes	⊠ No	□ N/A	Remarks:
8.	Does the CHP 317 Cal (purchase?	Card Log fully describe the	⊠ Yes	□ No	□ N/A	Remarks:
9.	Are bank statements red Cal Card Log and the re	conciled with the CHP 317 ceipts/invoices?	⊠ Yes	☐ No	□ N/A	Remarks:

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## JOMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	☐ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□No	□ N/A	Remarks;
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks: The K9 cards are personally secured by the K9 officers. All others are secured in a locked metal box under the control of the OSSII.
Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□ No	□ N/A	Remarks: Or designee (Lieutenant) in the absence of the Commander.
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	Yes	⊠ No	□ N/A	Remarks:

## **OMMAND INSPECTION PROGRAM**INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: ISU	Division: Southern	Number: 509
Evaluated by: Sergeant Er	Date: 12/18/2008	
Assisted by: OSSII Lucia	Callejas, #A9541	Date: 12/18/2008

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INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspector's Signature:
☐ Division Level ☐ Command Level	
☐ Executive Office Level ☐ Voluntary Self-Inspection	
Follow-up Required:	Commander's Signature: Date:
For applicable policy, refer to: HPM 11.1, Chapter 23	
<ol> <li>Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?</li> </ol>	☐ Yes ☑ No ☐ N/A Remarks:
Does all X Number file documentation contain the STD. 204 Payee Data Record?	Yes No N/A Remarks: See remarks at the boltom of page two.
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	Yes No N/A Remarks: The Command has had no such circumstances.
4. Are X Number requests made prior to the date the services are performed?	Yes No N/A Remarks: Other than rare emergency circumstances.
5. Are X Numbers issued for a one-time use?	Yes No N/A Remarks:
Are prohibited services performed using an X     Number?	☐ Yes ☑ No ☐ N/A Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	Yes No N/A Remarks:
Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	Yes No N/A Remarks:
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	Yes ☐ No ☐ N/A Remarks:
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	Yes No N/A Remarks: The Command has had no such circumstances.

## `OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

I .	X Numbers awarded to a non-small business r contain three price quotations?	⊠ Yes	□No	□ N/A	Remarks:
vendo	X Numbers awarded to a small business contain the small business certification from partment of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks: See remarks at bottom of page.
1	he file documentation contain the STD. 21 ree workplace certification for X Number s?	☐ Yes	⊠ No	□ N/A	Remarks: See remarks at bottom of page
	ergency service X Numbers document and he emergency?	⊠ Yes	□No	□ N/A	Remarks:
M. Committee of the com	temized invoice for each X Number service ined in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

- 2. Because the STD 204 is valid for a period of 3 years, a duplicate copy for an individual vendor/service provider was not previously attached to any subsequent documentation. Following the Oct. 2008, procurement training, the Command has implemented a suspense system and attaches a copy of the STD 204 to all individual X number file documents.
- 12. The Small Business Certification is valid for a period of one year and was not previously attached to each individual record. Following the Oct 2008, procurement training, a copy of the certification has been attached to each individual record.
- 13.A STD 21 was not previously attached to each individual record. Following the Oct. 2008, procurement training, the Command has implemented a suspense system and attaches a copy of the STD 21 to each individual record.

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: ISU	Division: Southern	Chapter:
Inspected by: Sergeant Er	ic Lee, #12707	Date: 12/18/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.	waxii i awaxaa		
TYPE OF INSPECTION		Corrective Action Plan Included	
☐ Division Level ☐ Command L	_evel	Appeal Included	
☐ Executive Office Level		Attachments Included	
Follow-up Required:	Forward to: Southern Division	Commander's Signature:	Date:
☐ Yes	Due Date:	E.MECC	12-18-08
Chapter Inspection:			
Inspector's Comments Regar None	ding Innovative Practice	es:	
Part - 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 -			
Command Suggestions for St	tatewide Improvement:		
ontinued training for key per	rsonnel.		
Standardized tracking spread	sheet for contracts.		
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#### Inspector's Findings:

The Southern Division Special Services Unit administers 22 contracts, all of which were examined. See attached (Exhibit 1). Exhibit 1 is the Area's computer file of all contracts administered.

Because the STD 204 is valid for a period of 3 years, a duplicate copy for an individual vendor/service provider was not previously attached to any subsequent documentation. Following the Oct. 2008, procurement training, the Command has implemented a suspense system and attaches a copy of the STD 204 to all individual X number file documents.

The Small Business Certification is valid for a period of one year and was not previously attached to each individual record. Following the Oct 2008, procurement training, a copy of the certification has been attached to each individual record.

A STD 21 was not previously attached to each individual record. Following the Oct. 2008, procurement training, the Command has implemented a suspense system and attaches a copy of the STD 21 to each individual record.

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

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Command:	Division:	Chapter:
ISU Southern		3
Inspected by:		Date:
Sergeant Er	Sergeant Eric Lee, #12707	

	Comma	nder's	Res	ponse:
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The Command has established a suspense system to ensure the CHP 317, and STD 21 and 204 are reviewed and updated at the prescribed time periods. The Command has also developed a spreadsheet to track contract expenditures and a vendor diary to track vendor activities.

Inspector's Comments:

None.

equired Action

Corrective Action Plan/Timeline

Corrective actions have already been implemented.

# **COMMAND INSPECTION PROGRAM** FXCEPTIONS DOCUMENT

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Command:	Division:	Chapter:
ISU	Southern	3
Inspected by:		Date:
Sergeant Eric Lee, #12707		12/18/2008

Appeal Process: (Appeals shall be filed within five (5) business day	s of the completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
Appeal Review/Decision: (This shall be the only level of appeal).	
Lead Inspector's Signature:	Date:
	1

### COMMAND INSPECTION PROGRAM

FXCEPTIONS D	OCUMENT
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Command: Division: Southern		Chapter:3 - Command Procurements
Inspected by: Paul Medeiros	-trans-	Date: 12/04/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		Corrective Action Plan Included	
☐ Division Level ☐ Comma	nd Level	Appeal Included	
☐ Executive Office Level		Attachments Included	
Follow-up Required:	Forward to	Commander's Signature:	Date
☐ Yes	Due Date:	Du. (H	02-23-09
Chapter Inspection: Three	e – Command Procurement		
Inspector's Comments Re No innovative practices we	garding Innovative Practice ere observed.	es:	
Command Suggestions for	r Statewide Improvement:	· · · · · · · · · · · · · · · · · · ·	
None.	300 A P 200 CO C 1995 (100)		

Inspector's Findings:

The Clerical staff was unaware the packing slips were required to be forwarded with the purchase order to Fiscal Management Section (FMS). Policy has been reviewed with the staff and all future packing slips will be forwarded appropriately to FMS.

### COMMAND INSPECTION PROGRAM

#### **EXCEPTIONS DOCUMENT**

Command:	Division:	Chapter:	
East Los Angeles	Southern	3	
Inspected by:		Date:	
Paul Medeiros		12/04/2008	

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Commander's Response:	
N/A	

Inspector's Comments:

Area personnel responsible for procurement management should receive refresher training on annual basis.

Required Action

Corrective Action Plan/Timeline

N/A

### COMMAND INSPECTION PROGRAM

### "'CEPTIONS DOCUMENT

Command: East Los Angeles	Division: Southern	Chapter 3		
Inspected by:		Date:		
Paul Medeiros		12/04/2008		

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Appeal Process: (Appeals shall be filed within five (5) business days of the	e completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
Appeal Review/Decision: (This shall be the only level of appeal).	
N/A	
Lead Inspector's Signature:	Date:
onding Commander's Signature (for appeal):	Date:

### COMMAND INSPECTION PROGRAM SPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Central L.A.	Division: Southern	Number: 590
Evaluated by Sgt. R. Diggins, #14275		Date: 11/18/2008
Assisted by: Officer J.		Date:11/13-18/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF	INSPECTION		Lead Inspe	ctor's Signatu	ıre:	
Divis	sion Level	○ Command Level	64.5		75	
Executive Office Level Voluntary Self-Inspection			0	N.	) 5	
	low-up Required: Yes 🔯 No	Follow-up Inspection	Commande	er's Signature e Leu	11	LF 1-15-09
For app	olicable policy, refer to	: HPM 11.2, Chapter 3		2011/06/27		
	Card program completing Interest Statement, Emp		⊠ Yes	□No	□ N/A	Remarks:
	Are STD. 21 Drug Free maintained within the Ca each vendor utilized?		☐ Yes	⊠ No	□ N/A	Remarks: Vendors have been directed to supply updated STD, 121 Drug Free Workplace Certifications.
ij	Are STD. 204 Payee Da in the Cal Card comman utilized?	ta Record forms maintained d file for each vendor	⊠ Yes	□No	□ N/A	Remarks:
		Waste Management Board ntained for each vendor	☐ Yes	⊠ No	□ N/A	Remarks: Vendors have been directed to provide Waste Management Board Form 74 Documents.
į	If the vendor is a small b is the certification letter General Services mainta		⊠ Yes	□No	□ N/A	Remarks:
ı	When fair and reasonab reasonable method docu justified?	le is utilized, is the fair and imented and properly	⊠ Yes	□ No	□ N/A	Remarks:
	Are purchases split into to circumvent transaction	multiple transactions in order purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:
	Does the CHP 317 Cal ( purchase?	Card Log fully describe the	⊠ Yes	□No	□ N/A	Remarks:
	Are bank statements red Cal Card Log and the re	onciled with the CHP 317 celpts/invoices?	⊠ Yes	□ No	□ N/A	Remarks <sup>-</sup>

#### COMMAND INSPECTION PROGRAM

### ... SPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10	and maintained?	⊠ Yes	□No	□ N/A	Remarks:
11.	Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□ No	□ N/A	Remarks:
12.	Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	☐ Yes	□ No	⊠ N/A	Remarks
13.	Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14.	Are Cal Card purchases pre-approved by the commander?	⊠ Yes	☐ No	□ N/A	Remarks:
15.	Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16.	Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

1 of 3

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Central L.A.	Division: Southern	Number: 590
Evaluated by Sgt. R. Diggin	s, #14275	Date 11/18/2008
Assisted by Officer J		Date 11/13-18/08

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Command Level ☐ Division Level Executive Office Level Commander's Signature: Follow-up Required: 1-15-09 Follow-up Inspection Yes ⊠ No For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Remarks: N/A command level familiar with the related policies and ✓ Yes ☐ No procedures for purchasing? Have Approvers/reviewers of purchases received Remarks: ☐ No ☐ N/A procurement training? Yes Are prohibited items procured on CHP 43, Purchases Remarks. Requisitions? Yes No. ☐ N/A Supplies for personally - owned equipment Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions, Remarks. No N/A X Yes prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: X Yes ☐ No N/A Purchase Requisition? 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: consecutively, starting anew at the beginning of each Yes ☐ No N/A fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: N/A forwarded to the Assistant Commissioner Staff, for X Yes No approval?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### OMMAND INSPECTION PROGRAM

**INSPECTION CHECKLIST** 

Chapter 3, Command Procurements Purchases

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	☐ No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
	. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□ No	□ N/A	Remarks:
11	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□ No	□ N/A	Remarks:
12	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	□No	□ N/A	Remarks:
13	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	⊠ Yes	□No	□ N/A	Remarks:
14.	Are items checked immediately for content and damage when delivered?	⊠ Yes	□ No	□ N/A	Remarks:
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□ No	□ N/A	Remarks:
16.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□ No	□ N/A	Remarks:
	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks:
	Is the original "received copy" relained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks.
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□ No	□ N/A	Remarks:

#### **COMMAND INSPECTION PROGRAM**

#### **INSPECTION CHECKLIST**

Chapter 3, Command Procurements Purchases

20	Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks
 21.	Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□ No	□ N/A	Remarks:
22.	Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23	Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24.	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

### COMMAND INSPECTION PROGRAM - SPECTION CHECKLIST

unapter 3, Command Procurements X-Number Program

Command: Division: Southern	Number: 590
Evaluated by Sgt. R. Diggins, #14275	Date: 11/18/2008
Assisted by Officer J. Donahue, #16689	Date: 11/13-18/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command, Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspector's Signature:
☐ Division Level ☐ Command Level	
☐ Executive Office Level ☐ Voluntary Self-Inspection	0
Follow-up Required:	Commander's Signature:  Date:  1.15.09
For applicable policy, refer to: HPM 11.1, Chapter 23	
<ol> <li>Are multiple X Numbers awarded to the same vendo to circumvent the \$4,999 contract limit?</li> </ol>	Yes No N/A Remarks:
<ol> <li>Does all X Number file documentation contain the STD. 204 Payee Data Record?</li> </ol>	⊠ Yes ☐ No ☐ N/A Remarks:
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	☑ Yes ☐ No ☐ N/A Remarks:
4. Are X Number requests made prior to the date the services are performed?	
5. Are X Numbers issued for a one-time use?	
Are prohibited services performed using an X Number?	☐ Yes ☑ No ☐ N/A Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes □ No □ N/A Remarks:
Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	☐ Yes ☑ No ☐ N/A Remarks:
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	⊠ Yes □ No □ N/A Remarks:
Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	⊠ Yes □ No □ N/A Remarks:

# COMMAND INSPECTION PROGRAM SPECTION CHECKLIST

onapter 3, Command Procurements X-Number Program

11	Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□ No	□ N/A	Remarks.
12	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
13	Does the file documentation contain the STD 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks
14	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□ No	□ N/A	Remarks:
15	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks:

### "OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Central L. A.	Division: Southern	Number: 590
Evaluated by Sgt. R. Diggins	, #14275	Date: 11/18/2008
Assisted by: Officer J. Dona		Date: 11/13-18/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECT	ION		Lead Inspe	ctor's Signatu	re:	
Division Leve	9 (	Command Level	_	The state of the s	S#8 · S	
Executive Of	fice Level [	Voluntary Self-Inspection	. 0		'SS-	
Follow-up	Required:	Follow-up Inspection	Commande	r's Signature - C. La	YL-	LF 1-15-09
For applicable	policy, refer to:	HPM 11.1, Chapter 22			1	,
service (	P 78 Contract Rec contracts which a nated dollar value	uest used to initiate all re repetitive, regardless of ?	⊠ Yes	□No	□ N/A	Remarks:
	P 78 Contract Re exceeding \$4,99	quest used for one-time 9.99?	⊠ Yes	□ No	□ N/A	Remarks:
numberi three-dig	ng beginning with	terest (OPI) tracking the requesting command sed, followed by " <u>CP" for</u> the CHP 78?	⊠ Yes	∏ No	□ N/A	Remarks:
	rformance of con umented?	tract services monitored	⊠ Yes	□ No	□ N/A	Remarks:
5. Are all c maintair		ndence with the vendor	⊠ Yes	□No	□ N/A	Remarks
which or		ocumented and maintained ns related to substandard or endor?	⊠ Yes	□ No	□ N/A	Remarks:
7. Is the fir specifica CHP 78	illy and in as muc	elivered described h detail as possible in the	⊠ Yes	□No	□ N/A	Remarks:
including for expe	the required doo dite and emergen	approval/signature obtained, cumentation and approvals cy contracts per HPM 11.1, ding the CHP 78 or CHP	⊠ Yes	□ No	□ N/A	Remarks:

#### **OMIMAND INSPECTION PROGRAM**

#### **INSPECTION CHECKLIST**

9.	months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	⊠ Yes	□ No	□ N/A	Remarks:
10	). Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□ No	□ N/A	Remarks:
1	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks
12	2. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
13	Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?	⊠ Yes	□No	□ N/A	Remarks:
12	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:
15	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□ No	□ N/A	Remarks:
16	i. Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
17	On emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□ No	□ N/A	Remarks:
18	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□ No	□ N/A	Remarks:
19	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□ No	□ N/A	Remarks:
20	Are contract amendment request dollar amounts     increased more than 30%2	□Yes	⊠ No	T N/A	Remarks:

#### **COMMAND INSPECTION PROGRAM**

#### **INSPECTION CHECKLIST**

21	Is the length of the contract amendment request more than one year?		□No	□ N/A	Remarks:
22	Are amendments requested before the expiration of the original contract?	⊠ Yes	□No	□ N/A	Remarks:
23.	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks: None rented
24.	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks: None rented.
25.	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	⊠ Yes	□ No	□ N/A	Remarks:
	<ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>				
26.	Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days.  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	⊠ Yes	□No	□ N/A	Remarks:
7					

#### DMMAND INSPECTION PROGRAM

#### **INSPECTION CHECKLIST**

27	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□ No	□ N/A	Remarks
28	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks:
29	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
30	Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□ No	□ N/A	Remarks;
31	. Is a computer file prepared for all contracts administered?	⊠ Yes	☐ No	□ N/A	Remarks:
32	Is a spreadsheet prepared listing all expenditures?	☐ Yes	⊠ No	□ N/A	Remarks:
33	. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□ No	□ N/A	Remarks:
34	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks:
35	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3 02.1)	☐ Yes	□ No	⊠ N/A	Remarks: None
36	Does the contract file contain the STD 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□ No	⊠ N/A	Remarks: None.
37	. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□ No	□ N/A	Remarks:
38	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	⊠ Yes	□ No	□ N/A	Remarks:
39	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	Yes	⊠ No	□ N/A	Remarks:

# COMMAND INSPECTION PROGRAM FXCEPTIONS DOCUMENT

Command	Division	Chapter.	
Central L.A.	Southern	3	
Inspected by: Sergeant R. D	ggins, #14275	Date: 11/18/2008	

PE OF INSPECTION		Corrective Action Plan Included	
] Division Level 🛛 Comm	and Level	Appeal Included	
Executive Office Level		Attachments Included	
Follow-up Required:	Forward to:	Commander's Signature:	Date:
☐ Yes 🖾 No	Due Date:	- Poclail Co	1-15-09
napter Inspection:	vojek i nekologija korista		
aran ar saa ah saa a	Signature Incorporative P	restines:	
spector's Comments R	egarding innovative Pr	ractices,	

Command Suggestions for Statewide Improvement:

Inspector's Findings:

None.

Chapter 3, Command Procurements Cal-Card Program:

- 2. STD 21 Drug Free Workplace certifications for vendors were not located. Effective immediately, vendors will be directed to complete the STD 21 when utilized.
- California Integrated Waste Management Board form 74 documents were not located. Effective immediately, vendors will be directed to complete the required form 74 when utilized.

All other findings were in compliance with departmental policies and procedures.

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

ı age 2

Command:	Division:	Chapter:
Central L.A.	Southern	3
Inspected by:	iggins, #14275	Date: 11/18/2008

The state of the s	 THE PART IN CO. LEWIS CO. LANSING MICH.	
Commander's Response:		 

Inspector's Comments:

None.

Pequired Action

Corrective Action Plan/Timeline

Corrective actions for the aforementioned procedures have been implemented immediately.

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

ge 3

Command	Division	Chapter:
Central L.A.	Southern	3
Inspected by	iggins, #14275	Date: 11/18/2008

TO CONTROL OF THE STATE OF THE	gan transference e regionales an element establis
Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Appeal Process: (Appeals shall be filed within five (5) business days of the	ABSU B SECRETARIO COMPANION CONTRACTOR POSICIONAL CONTRACTOR CONTR
Commander's Basis for Appeal:	
Appeal Review/Decision: (This shall be the only level of appeal).	
Beautiful Stratus Southwest to Economics	
Lead Inspector's Signature.	Date:
Lead Inspector's Signature.	11/18/08
Lead Inspector's Signature.   N  S  Responding Commander's Signature (for appeal):	Date: 11 / 18 / 6.8-

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Date:
12/26/2008
Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspe	ctor's Signatu	ire:		
☐ Division Level	⊠ Command Level				, to 0 !	Date:
Executive Office Level	☐ Voluntary Self-Inspection	,	· Juja	NIL	26 10 00	
Follow-up Required:  Yes No	☐ Follow-up Inspection		er's Signature			Date: 12-29-08
For applicable policy, refer to:	HPM 11.1, Chapter 22	۷				
Is a CHP 78 Contract Rec service contracts which a the estimated dollar value	re repetitive, regardless of	⊠ Yes	□ No	□ N/A	Remarks:	
2. Is a CHP 78 Contract Re services exceeding \$4,99		⊠ Yes	□ No	□ N/A	Remarks:	
Is the Office of Primary In numbering beginning with three-digit location code ucontract payable listed on	the requesting command sed, followed by "CP" for	⊠ Yes	□ No	□ N/A	Remarks:	
Is the performance of con and documented?	tract services monitored	⊠ Yes	☐ No	□ N/A	Remarks:	
5. Are all copies of correspo maintained?	ndence with the vendor	⊠ Yes	□No	□ N/A	Remarks:	
Are letters for contracts do which outline any problem non-performance of the vertex.	s related to substandard or	⊠ Yes	□No	□ N/A	Remarks	
<ol> <li>Is the final product to be d specifically and in as muc CHP 78?</li> </ol>		⊠ Yes	□ No	□ N/A	Remarks	
	umentation and approvals cy contracts per HPM 11.1,	⊠ Yes	□No	□ N/A	Remarks:	

### **DMMAND INSPECTION PROGRAM**

#### INSPECTION CHECKLIST

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	⊠ Yes	□ No	□ N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	☐ No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□ No	⊠ N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□No	□ N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	ПYes	П No	⊠ N/A	Remarks

#### **COMMAND INSPECTION PROGRAM**

#### ... SPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	□No	⊠ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□No	⊠ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
<ul> <li>25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:</li> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>	⊠ Yes	□ No	□ N/A	Remarks:  Janitorial contract for Castaic is through the Newhall Area office.
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	⊠ Yes	□ No	□ N/A	Remarks

Page 4 of 4

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **COMMAND INSPECTION PROGRAM**

#### INSPECTION CHECKLIST

27	7. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□No	□ N/A	Remarks:
28	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks:
29	. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
30	. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	☐ No	□ N/A	Remarks:
31	. Is a computer file prepared for all contracts administered?	⊠ Yes	☐ No	□ N/A	Remarks:
32	Is a spreadsheet prepared listing all expenditures?	⊠ Yes	☐ No	□ N/A	Remarks:
33	Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□ No	□ N/A	Remarks;
34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks:
35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□ No	⊠ N/A	Remarks:
36.	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□ No	⊠ N/A	Remarks:
37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□ No	□ N/A	Remarks:
38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4. Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks

Page 1 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM SPECTION CHECKLIST

∪ apter 3, Command Procurements X-Number Program

Command: Castaic I. F.	Division: Southern Division	Number:	
Evaluated by: Suzanne Torres, OSSI		Date:	
Assisted by:		Date:	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspe	ctor's Signatu	ıre;	
☐ Division Level ☐ Command Level		ľ		tomes OSSI
Executive Office Level  Voluntary Self-Inspection	C 5	100 4 70 20	141	1900 Ch
Follow-up Required: Follow-up Inspection	Commande	r's-Signature		Date: 12-29-08
⊠ Yes □ No	124	1/1		17-71-08
For applicable policy, refer to: HPM 11.1, Chapter 23				
Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:
<ol><li>Does all X Number file documentation contain the STD. 204 Payee Data Record?</li></ol>	☐ Yes	⊠ No	□ N/A	Remarks: (See attached memo)
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	⊠ Yes	□No	□ N/A	Remarks:
4. Are X Number requests made prior to the date the services are performed?	⊠ Yes	□No	□ N/A	Remarks:
5. Are X Numbers issued for a one-time use?	⊠ Yes	☐ No	□ N/A	Remarks:
6. Are prohibited services performed using an X Number?	☐ Yes	⊠ No	□ N/A	Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	□No	□ N/A	Remarks;
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	☐ Yes	□No	⊠ N/A	Remarks:
<ol> <li>Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?</li> </ol>	☐ Yes	☐ No	⊠ N/A	Remarks:
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	⊠ Yes	□ No	□ N/A	Remarks: All facility x numbers are approved through Facilities Section

2 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **COMMAND INSPECTION PROGRAM**

**SPECTION CHECKLIST** 

C. apter 3, Command Procurements X-Number Program

11	. Do all X Numbers awarded to a non-small business vendor contain three price quotations?		□ No	□ N/A	Remarks:
12	. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	☐ Yes	⊠ No	□ N/A	Remarks: (See attached memo)
14.	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	☐ No	□ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM 3PECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Castaic I. F.	Division: Southern Division	Number:
Evaluated by: Suzanne Torres, OSSI		Date: 12/26/2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE C	OF INSPECTION		Lead Inspi	ector's Signat	ure:	
☐ Div	rision Level	⊠ Command Level		A	1 2 41.5	Three OSSI
☐ Exe	ecutive Office Level	☐ Voluntary Self-Inspection		(150		
	ollow-up Required: Yes No	Follow-up Inspection	Command	er's Signature	Has	12-29-08
For ap	oplicable policy, refer t	o: HPM 11.2, Chapter 3				
1.		ociated with the use of the Cal- ing the CHP 78S, Conflict of ployee, form?	⊠ Yes	□No	□ N/A	Remarks: Recently requested by Division,
2.	Are STD. 21 Drug Free maintained within the 0 each vendor utilized?	Workplace certifications Cal Card command file for	☐ Yes	⊠ No	□ N/A	Remarks: (See attached memo)
3.	Are STD, 204 Payee D in the Cal Card comma utilized?	☐ Yes	⊠ No	□ N/A	Remarks: (See attached memo)	
4.		d Waste Management Board aintained for each vendor	⊠ Yes	□ No	□ N/A	Remarks: Form 74's are received with office supplies.
5.		business or DVBE is utilized, from the Department of tained in the file?	⊠ Yes	□No	□ N/A	Remarks:
6.	When fair and reasonal reasonable method doo justified?	ble is utilized, is the fair and cumented and properly	⊠ Yes	□No	□ N/A	Remarks:
7.	Are purchases split into to circumvent transaction	multiple transactions in order on purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:
8.	Does the CHP 317 Cal purchase?	Card Log fully describe the	⊠ Yes	□No	□ N/A	Remarks:
9.	Are bank statements re Cal Card Log and the re	conciled with the CHP 317 eceipts/invoices?	⊠ Yes	□ No	□ N/A	Remarks;

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM SPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

	Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	☐ No	□ N/A	Remarks:
	Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
	Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. <i>A</i>	Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:Calcards are locked in the OSSI's desk.
	Are Cal Card purchases pre-approved by the commander?	⊠ Yes	☐ No	□ N/A	Remarks:
	Have all cardholders received training on the Department's procurement processes?	☐ Yes	⊠ No	□ N/A	Remarks: One new card holder has not received training.
	Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

Page 1	of	3
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# ~ OMMAND INSPECTION PROGRAM ... SPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Castaic I. F.	Division: Southern Division	Number:	
Evaluated by: Suzanne Torre	Date: 12/26/2008		
Assisted by:		Date:	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION

Lead Inspector's Signature:

TYPE OF INSPECTION				Lead Inspector's Signature:				
☐ Div	ision Level	⊠ Command Level		11/2/17	111	Jones OSSI		
☐ Exe	ecutive Office Level	☐ Voluntary Self-Inspection						
Follow-up Required:  Yes No				er's Signature	The	12-29-08		
For applicable policy, refer to: HPM 11.2, Chapter 7								
1.		procurement process at the with the related policies and ing?	⊠ Yes	□ No	□ N/A	Remarks:		
2.	Have Approvers/review procurement training?	⊠ Yes	□No	□ N/A	Remarks:			
3.	Are prohibited items pro Requisitions?	ocured on CHP 43, Purchases	☐ Yes	⊠ No	□ N/A	Remarks		
	<ul><li>Supplies for pe</li><li>Commodities fo</li><li>Confirming orde</li><li>Purchases via t</li></ul>	er						
4.	Are separate CHP 43s, prepared for commodity different suppliers or fro commodity contracts?	items obtainable from	☐ Yes	⊠ No	□ N/A	Remarks:		
5.	5. Is all required information entered on the CHP 43, Purchase Requisition?			☐ No	□ N/A	Remarks:		
6.	<ol> <li>Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?</li> </ol>			□ No	□ N/A	Remarks.		
7.		for the purchase of goods ant Commissioner, Staff, for	☐ Yes	☐ No	⊠ N/A	Remarks The area has not needed to expedited any purchases of goods		

### **TOMMAND INSPECTION PROGRAM**

#### **INSPECTION CHECKLIST**

Chapter 3, Command Procurements Purchases

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	Yes	□No	⊠ N/A	Remarks: The area has not purchased specialized items.
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11.	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□ No	□ N/A	Remarks:
12.	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	□No	□ N/A	Remarks:
13.	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	☐ No	⊠ N/A	Remarks:
14.	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks: When a purchase order is not received, a signed copy of the 43 is sent in its place.
16.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	☐ Yes	⊠ No	□ N/A	Remarks: Freight and packing slips are attached and kept with the area's copy of the CHP 43.
17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks: FMS is provided a copy of the purchase order or CHP 43 indicating which items have been received, dated and signed.
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□No	□ N/A	Remarks:
		1 1			

### **OMMAND INSPECTION PROGRAM**

#### **IIISPECTION CHECKLIST**

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	☐ Yes	□No	⊠ N/A	Remarks: The facility has never cancelled a purchase requisition.
<ol> <li>Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)</li> </ol>	⊠ Yes	☐ No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?  (Rublic Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

CONAND INSPECTION DE			
CONAND INSPECTION PROGRAM  EXCEPTIONS DOCUMENT  Number of the inspection:	l	Division:	
EXCETIONS PECTION PRO	Command:	*** 17/0/5/00	_
DOCUMENT	L'astain r	Division:	
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improvement to and its of the chapter Is	Torres,	OSSI	Date
additional space is a due date. This document of the deficiencies.	es as necos		2/1:
IRUCTIONS: This document shall be typed. Check appropriate box shall be routed to and its due date. This document shall be utilized to document shall be uti	ard to: enter the next	n the blanks as in the	===:
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Yes No Lt. Omar Watson Com.	Attachments Included	,	
Due Day	mander's Signature:		
Chap er Inspection:  O2/19/2009		D	ate:
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Inspector's Comments Regarding Innovative Practices:		STATE OF THE STATE OF	District on the last of the la
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Command — Suggesti			
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Suggestions for Statewide Improvement:			
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rinplace Certification			
and STD 204, Paus			
21, Drug ree Workplace Certification and STD 204, Payee Da	ta Records are -	-4	
<sup>9)</sup> OPI 010	are no	ot on file for	

### COMMAND INSPECTION PROGRAM

Command	Division	Chapter
Baldwin Park	Southern	3
Inspected by		Date:
Sergeant Miles Ingraham		12/01/2008

Date:

EXCEPTIONS DOCUMENT

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included Executive Office Level Attachments Included

Commander's Signature

Chapter Inspection:

Yes Yes

Follow-up Required:

X No

Inspector's Comments Regarding Innovative Practices:

Forward to:

Due Date:

Southern Division

The Baldwin Park Area has an Administrative Sergeant that handles the majority of X-number field related and facility related requests when required. The Office Manager handles clerical related X number requests and Cal-card purchases. In addition, the Baldwin Park Area has a General Support officer who is a designated Cal- Card purchaser.

Command Suggestions for Statewide Improvement:

The Baldwin Park has no suggestions for improvement as the Department has already implemented ReDS training and scheduled procurement training.

Inspector's Findings:

It was discovered that some of the Baldwin Park personnel involved in the procurement process had received informal procurement training but had not attended formal procurement training, and some of them were actually reviewers and approvers of documents. Coincidentally, a formal training class was being scheduled by headquarters personnel for the near future. It is the Inspector's recommendation that all personnel involved in the procurement process attend the upcoming training session.

# **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

Command Division Chapter
Baldwin Park Southern 3
Inspected by Date:
Sergeant Miles Ingraham 12/01/2008

Page 2

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The Baldwin Park Area concurs with the findings outlined on the Chapter 3 Command Procurements Exceptions Document.

Inspector's Comments:

The Inspector agrees with the Commanders response.

#### Required Action

Corrective Action Plan/Timeline

All Baldwin Park personnel involved in the Procurement process shall attend the upcoming procurement training being put on by Headquarters personnel in the near future.

**Note:** All Baldwin Park personnel involved with X-Numbers, Cal-Cards, etc (reviewers and approvers) including backups attended Procurement training at LARTMC on February 5, 2009.

### COMMAND INSPECTION PROGRAM "XCEPTIONS DOCUMENT

Page 3

Command. Baldwin Park	Division Southern	Chapter 3
Inspected by Sergeant Miles	Ingraham	Date: 12/01/2008

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).

Commander's Basis for Appeal:

NIA

Appeal Review/Decision: (This shall be the only level of appeal).

NIA

#### COMMAND INSPECTION PROGRAM PECTION CHECKLIST

Cnapter 3, Command Procurements X-Number Program

Command: Baldwin Park	Division Southern	Number (C6 5) X
Evaluated by		Date
Sgt. M. Ingraha	am	12/01/2008
Assisted by		Date
Sgt. H. Castillo		12/01/2008

1 of 2

Page

INSTRUCTIONS. Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command, Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

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TYPE OF INSPECTION			Lead Inspe	ctor's Signati	ure		
☐ Div	ision Level	□ Command Level	1/2				
☐ Exe	ecutive Office Level	☐ Voluntary Self-Inspection	14/				
No.	llow-up Required: ] Yes     No	Follow-up Inspection	Commande.	er's Signature	()	Date 15/5%	
For ap	oplicable policy, refer to	o: HPM 11.1, Chapter 23		.6	_		
1.	Are multiple X Number to circumvent the \$4,99	s awarded to the same vendor 39 contract limit?	☐ Yes	⊠ No	□N/A	Remarks	
2	Does all X Number file STD, 204 Payee Data	documentation contain the Record?	⊠ Yes	☐ No	□ N/A	Remarks	
3.	Do X Numbers requirin landscaping) have prior Services Section comm	g a contract (i.e., janitorial or approval from the Business nander?	☐ Yes	□No	⊠ N/A	Remarks	
4.	Are X Number requests services are performed	s made prior to the date the ?	⊠ Yes	☐ No	□ N/A	Remarks	
5	Are X Numbers issued		⊠ Yes	□No	□ N/A	Remarks	
6	Are prohibited services Number?	performed using an X	Yes	⊠ No	□N/A	Remarks	
7	Are X Numbers used for service and not the pur		⊠ Yes	☐ No	□N/A	Remarks	
8	Are X Numbers issued related services pre-ap Telecommunications Services	proved by	⊠ Yes	□ No	□ N/A	Remarks	
9		r facilities related services ectrical) costing over \$1,000 m Facilities Section?	⊠ Yes	☐ No	□ N/A	Remarks	
10	Do X Numbers issued f agreements have prior Assistant Commissione	approval by the appropriate	⊠ Yes	□ No	□ N/A	Remarks	

#### COMMAND INSPECTION PROGRAM PECTION CHECKLIST

Unapter 3, Command Procurements X-Number Program

11	Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□No	□ N/A	Remarks If not, justification box is completed.
12	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks
13.	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No.	□ N/A	Remarks: Yes. Only after original use of vendor.
14.	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	☐ No	□ N/A	Remarks
15.	Is the itemized invoice for each X Number service maintained in the command's files?		□ No	□ N/A	Remarks

### COMMAND INSPECTION PROGRAM ....SPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command Baldwin Park	Division Southern	Number 406-525-0
Evaluated by Sgt. M. Ingraham		Date 12/01/2008
Assisted by Sgt. H. Castillo		Date 12/01/2008

INSTRUCTIONS Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TY	PF. C	F INSPECTION	Lead Inspector 9 Signature			
	Div	ision Level 🗵 Command Level	//			
	Exe	ecutive Office Level	age			
Follow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No			Commande	er's Signature 444	14 /	Dale 12 23 01
For applicable policy, refer to: HPM 11.2, Chapter 3						
	1	Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks
	2	Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	⊠ Yes	□No	□ N/A	Remarks On file with 78x files and vendor lists
	3	Are STD 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	⊠ Yes	□ No	□ N/A	Remarks On file with 78x files and vendor lists
	4.	Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	☐ Yes	⊠ No	□ N/A	Remarks
	5	If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠ Yes	□No	□ N/A	Remarks
	6	When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	⊠ Yes	□No	□ N/A	Remarks
	7	Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	□Yes	⊠ No	□ N/A	Remarks
	8	Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□No	□ N/A	Remarks
	9	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	□ No	□ N/A	Remarks

# COMMAND INSPECTION PROGRAM ... SPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

*	10.	Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	☐ No	□ N/A	Remarks:
. 1000	11	Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	☐ No	□ N/A	Remarks
	12.	Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
-	13.	Are Cal Cards maintained in a secure area?	⊠ Yes	□ No	□ N/A	Remarks
	14.	Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks
	15.	Have all cardholders received training on the Department's procurement processes?	⊠ Yes	☐ No	□ N/A	Remarks:
-	16.	Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐Yes	⊠ No	□ N/A	Remarks:

1 of 3

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### MMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command. Baldwin Park	Division Southern	Number 006-545-08
Evaluated by Sgt. M. Ingraha	m	Date: 12/01/2008
Assisted by Sgt. H. Castillo		Date: 12/01/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE C	TYPE OF INSPECTION			Lead Inspector's Signature			
[] Div	ision Level	Command Level					
[] Exe	ecutive Office Level	Voluntary Self-Inspection					
	llow-up Required: ] Yes    No	Follow-up Inspection	Commande	er's Signature		Date 12/3/08	
For applicable policy, refer to: HPM 11.2, Chapter 7							
1.	Are participants in the proc command level familiar will procedures for purchasing	h the related policies and	⊠ Yes	□No	□ N/A	Remarks	
2	Have Approvers/reviewers procurement training?	of purchases received	⊠ Yes	☐ No	□ N/A	Remarks	
3	Are prohibited items procu Requisitions?	red on CHP 43, Purchases	Yes	⊠ No	□ N/A	Remarks	
	<ul><li>Supplies for perso</li><li>Commodities for p</li><li>Confirming order</li><li>Purchases via the</li></ul>						
4	Are separate CHP 43s, Puprepared for commodity its different suppliers or from commodity contracts?	ems obtainable from	⊠ Yes	□ No	□ N/A	Remarks.	
5	Is all required information of Purchase Requisition?	entered on the CHP 43,	⊠ Yes	□ No	□ N/A	Remarks	
6.	Are the CHP 43, Purchase consecutively, starting and fiscal year (July 1)?	Requisitions, numbered w at the beginning of each	⊠ Yes	□No	□ N/A	Remarks	
7	Are expedited requests for forwarded to the Assistant approval?		[] Yes	□ No	⊠ N/A	Remarks No expedited requests	

## DMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks
Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	☐ No	□ N/A	Remarks
10 Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	☐ No	□ N/A	Remarks
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAI 3555?		□No	□ N/A	Remarks
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	□ No	□ N/A	Remarks
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	Yes	[] No	⊠ N/A	Remarks
14 Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?		∏ No	□ N/A	Remarks
Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	☐ No	□ N/A	Remarks:
17 Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	S ⊠ Yes	□No	□ N/A	Remarks
19 Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driv before being accepted?	er 🛛 Yes	□ No	□ N/A	Remarks:

#### DMMAND INSPECTION PROGRAM

#### INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

in by of de is	s Purchasing Services Unit (PSU) notified nmediately by telephone, followed in writing either y a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is etermined that a commodity requested on a CHP 43 no longer needed and a purchase order has not et been prepared?	⊠ Yes	□No	□ N/A	Remarks
in	re open purchase orders periodically reviewed and vestigated to ensure the orders are not opened for unreasonable length of time. (SAM 8422.0)	☐ Yes	□No	⊠ N/A	Remarks: None are currently open.
or	re copies of the purchase requisitions and purchase ders maintained for three years after payment? SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks
do	re decisions documented to create a paper trail ocumenting the basis of the decisions made for the urchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	☐ No	□ N/A	Remarks:
bio De	re purchase orders split to evade competitive dding requirements or to circumvent the epartment's delegated purchase authority limits?	☐ Yes	⊠ No	□ N/A	Remarks:

### MMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command Baldwin Park	Division Southern	Number 6. 525 0 X
Sgt. M. Ingraha	ım	Date 12/01/2008
Assisted by Sgt. H. Castillo		Date 12/01/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE	F INSPECTION		Lead Inspe	ctor's Signati	ure	
☐ Division Level ☐ Command Level			1/2.	1		
☐ Exe	ecutive Office Level	☐ Voluntary Self-Inspection	00%	76-		
Fo	ollow-up Required:  Yes No	Follow-up Inspection	Commande	eris Signature	1./	Date 12/3/08
For a	oplicable policy, refer t	o: HPM 11.1, Chapter 22		,		. ,
1		Request used to initiate all are repetitive, regardless of lue?	⊠ Yes	□ No	□ N/A	Remarks
2.	Is a CHP 78 Contract services exceeding \$4,	Request used for one-time 999.99?	☐Yes	⊠ No	□ N/A	Remarks*
3.		vith the requesting command e used, followed by "CP" for	⊠ Yes	□ No	□ N/A	Remarks
4.	is the performance of cand documented?	ontract services monitored	⊠ Yes	□No	□ N/A	Remarks: Tow Contract specific
5.	Are all copies of corres maintained?	pondence with the vendor	⊠ Yes	□ No	□ N/A	Remarks:
6.		documented and maintained ems related to substandard or evendor?	⊠ Yes	□ No	□ N/A	Remarks No problems experienced.
7	Is the final product to b specifically and in as m CHP 78?	e delivered described uch detail as possible in the	⊠ Yes	□No	□ N/A	Remarks
8	including the required of for expedite and emerg	of approval/signature obtained, locumentation and approvals ency contracts per HPM 11 1, warding the CHP 78 or CHP	⊠ Yes	□ No	□N/A	Remarks

#### MMAND INSPECTION PROGRAM

#### INSPECTION CHECKLIST

	9	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	⊠ Yes	∐ No	□ N/A	Remarks  Comes from Sacramento
	10	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks
= 30	11	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks
	12	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks.
_	13.	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	☐ No	□ N/A	Remarks
	14	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	[] No	□ N/A	Remarks
	15	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	☐ No	□ N/A	Remarks
	16	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks
	17	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	No	⊠ N/A	Remarks.
	18	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□ No	□ N/A	Remarks
	19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	∐ No	□ N/A	Remarks Two Contracts only
	20	Are contract amendment request dollar amounts increased more than 30%?	Yes	⊠ No	□ N/A	Remarks

## DMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21	Is the length of the contract amendment request more than one year?	☐ Yes	⊠ No	□ N/A	Remarks
22.	Are amendments requested before the expiration of the original contract?	⊠ Yes	□No	□ N/A	Remarks: Tow Contract only.
23	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999 99 in total cost?	☐ Yes	⊠ No	□ N/A	Remarks
24	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks: None rented
25	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	☐ Yes	□ No	⊠ N/A	Remarks: CHP janitor is not a service.
	<ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>				
26.	Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	☐ Yes	□ No	⊠ N/A	Remarks:
	<ol> <li>Alarm and Fire Alarm Monitoring</li> <li>Camera Maintenance and Repair</li> <li>Carpel Installation</li> <li>Diesel Generator Maintenance and Repair</li> <li>Dishwasher Maintenance and Repair</li> <li>Elevator Maintenance and Repair</li> <li>Fire Extinguisher Service</li> <li>Garage Door Maintenance and Repair</li> <li>Graphic Arts Equipment Maintenance and Repair</li> <li>Heating, Ventilation, and Air Conditioning Service</li> <li>Laundry/Linen Service</li> <li>Office Machine Maintenance and Repair</li> <li>Painting Services (interior of facility)</li> <li>Plumbing Services</li> <li>Scale Maintenance and Repair</li> <li>Steam Cleaning Services (Carpet, not scales)</li> <li>Telephone Services (cellular, satellite, and regular)</li> <li>Television Equipment Maintenance and Repair</li> <li>Uninterruptible Power Supply Maintenance and Repair</li> </ol>				

#### **DMMAND INSPECTION PROGRAM** INSPECTION CHECKLIST

27	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	Yes	□ No	⊠ N/A	Remarks
28	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□ No	⊠ N/A	Remarks
29	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	☐ No	□ N/A	Remarks;
	Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	☐ No	⊠ N/A	Remarks
31	Is a computer file prepared for all contracts administered?	Yes	⊠ No	□ N/A	Remarks
	Is a spreadsheet prepared listing all expenditures?	∑ Yes	☐ No	□ N/A	Remarks
33	Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	☐ No	□ N/A	Remarks, Yes By letter, Copy kept on file.
34	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks:
35	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
36.	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	[] No	⊠ N/A	Remarks:
37	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□ No	□ N/A	Remarks
38	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	⊠ Yes	[] No	□ N/A	Remarks
39	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	Yes	⊠ No	□ N/A	Remarks

### COMMAND INSPECTION PROGRAM

EXCEP <sup>-</sup>	CIONS	DOCL	JN.	1FN	T
			71V		

Соттапо:	Division:	Chapter:
Antelope Valley	Southern	3
Inspected by:		Date:
Lt. A. Witmer/OS	SI Hayworth	1/12/2009

number of the inspection in the Chapte shall be routed to and its due date. The	er Inspection number. Under "Fo his document shall be utilized to	present to: "enter the next level of command when document innovative practices, suggestions for significant to appeal findings. A CHP 51 Memoran	e the document statewide
TYPE OF INSPECTION		Corrective Action Plan Included	
☐ Division Level ☐ Command I	_evel	Appeal Included	
Executive Office Level		Attachments Included	
Follow-up Required:	Forward to: Southern Division	Commander's Signature:	Date: 2/19/09
☐ Yes         No	Due Date: Dec 10, 2008		
Chapter Inspection: Comma			
Inspector's Comments Rega	rding Innovative Practice	98:	
None.			
,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,			
Command Suggestions for S	tatewide Improvement:		
None.			
	and the same of th		
Inspector's Findings:			4,

**Contracts Program:** All contracts are administered by Headquarters. The Area does oversee the work of the contractors for the HVAC system and for the landscaping. There have been no problems with the work being performed by the HVAC contractors. Issues regarding the landscaping/maintenance are discussed with the landscaper and immediately resolved.

X Number Program: The Area's X-Number program was found to be operating within guidelines.

Cal-Card Program: The Area's Cal-Card Program was found to be operating within guidelines.

Purchases Program: The Area's Purchases Program was found to be operating within guidelines

#### COMMAND INSPECTION PROGRAM

#### **EXCEPTIONS DOCUMENT**

Page 2

Command: Antelope Valley	Division: Southern	Chapter:
Inspected by: Lt. Andria Witmer	/OSSI Hayworth	Date: 11/10/2008

Commander's Response:	4
None required.	
Inspector's Comments:	
None.	
Required Action	
Corrective Action Plan/Timeline	

None.

#### **COMMAND INSPECTION PROGRAM**

#### **EXCEPTIONS DOCUMENT**

Page 3
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Command: Antelope Valley	Division: Southern	Chapter: 4	
Inspected by: Lt. A. Witmer/OS	SI Hayworth	Date: 11/10/08	

Appeal Process: (Appeals shall be filed within five (5) busin	
Commander's Basis for Appeal:	
N/A	
*	
Appeal Review/Decision: (This shall be the only level of a	nneal)
The state of the s	ppour
ead Inspector's Signature:	Date:
esponding Commander's Signature (for appeal);	Date: 2/19/09 Date: :2-19-09
Children -	2-19-09
	1919 - 1919 - 1919 - 1919 - 1919 - 1919 - 1919 - 1919 - 1919 - 1919 - 1919 - 1919 - 1919 - 1919 - 1919 - 1919

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STATE OF CALIFORNIA FARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Division: Antelope Valley Southern		Number: 545			
Evaluated by: Lt. A. Wilmer, #11451		Date: 1/20/09			
Assisted by: Officer B. Moya, #10243		Date: 1/20/09			

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE	OF INSPECTION		Lead Inspe	ector's Signat	иге:	<del></del>	
☐ Di	vision Level	○ Command Level					
	ecutive Office Level	☐ Voluntary Self-Inspection	1	$\bigcap$			
F	ollow-up Required: ☐Yes 🔀 No	Follow-up Inspection	Command	er's Signature	· •		Date: 1 - 20 - 09
For a	pplicable policy, refer to	: HPM 11.2, Chapter 3	7				,
ļ 	Card program completing Interest Statement, Emp		⊠ Yes	□No	□ N/A	Remarks:	
2,	Are STD. 21 Drug Free maintained within the C each vendor utilized?	Workplace certifications al Card command file for	☐ Yes	☐ No	⊠ N/A		rea uses vendors Division who has this I file,
3.	Are STD. 204 Payee Da in the Cal Card commar utilized?	ata Record forms maintained nd file for each vendor	⊠ Yes	□ No	□ N/A	Remarks:	
4.	Are California Integrated Form 74 documents ma utilized?	d Waste Management Board intained for each vendor	X Yes	□No	□ N/A	Remarks:	
5.	is the certification letter General Services mainta	ained in the file?	⊠ Yes	□No	□ N/A	Remarks:	
6.	reasonable method doci justified?	**************************************	☐ Yes	□No	⊠ N/A	Remarks: Are use this,	ea has not had need to
7.	to circumvent transaction		Yes	⊠ No	□ N/A	Remarks:	
8.	purchase?	Card Log fully describe the	⊠ Yes	□No	□ N/A	Remarks:	
9.	Are bank statements red Cal Card Log and the re	conciled with the CHP 317 celpts/invoices?	⊠ Yes	□No	□ N/A	Remarks:	

## JOMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10	. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
11	. Are credit invoices/receipts for returned items maintained with the bank statement?	☐ Yes	□No	⊠ N/A	Remarks: No items have had to be returned.
12	. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	☐ Yes	□ No	⊠ N/A	Remarks:
13.	. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14.	Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□ No	□ N/A	Remarks:
15.	Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16.	Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA TPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Antelope Valley	Division: Southern	Number: 545
Evaluated by:		Date:
Lt. A. Witmer, #11451		1/20/09
Assisted by:		Date:
Officer B. Moya, #10243		1/20/09

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: □ Command Level Division Level ☐ Executive Office Level Follow-up Required: Follow-up Inspection Commander's Signature: 1-20-09 Yes For applicable policy, refer to: HPM 11.1, Chapter 22 1. Is a CHP 78 Contract Request used to initiate all Remarks: service contracts which are repetitive, regardless of X Yes П No □ N/A the estimated dollar value? Is a CHP 78 Contract Request used for one-time Remarks: services exceeding \$4,999.99? X No □ N/A Yes Is the Office of Primary Interest (OPI) tracking Remarks: numbering beginning with the requesting command X Yes No N/A three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? 4. Is the performance of contract services monitored Remarks: and documented? X Yes □ No ☐ N/A 5. Are all copies of correspondence with the vendor Remarks: maintained? X Yes No □ N/A 6. Are letters for contracts documented and maintained Remarks: All contractors have which outline any problems related to substandard or Yes ☐ No N/A performed as required. non-performance of the vendor? Is the final product to be delivered described Remarks: specifically and in as much detail as possible in the X Yes No N/A CHP 78? 8. Are all required levels of approval/signature obtained. Remarks: including the required documentation and approvals X Yes No □ N/A for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

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STATE OF CALIFORNIA SPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	⊠ N/A	Remarks: Area has not had short notice contracts processed.
10	. Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	☐ No	□ N/A	Remarks:
11	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
12	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
13	Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?	⊠ Yes	□No	□ N/A	Remarks:
14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:
16	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
17.	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
19	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□ No	□ N/A	Remarks: Area has not experienced problems with contractor performance.
20	Are contract amendment request dollar amounts increased more than 30%?	□Yes	□No	⊠ N/A	Remarks: None requested.

## JOMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	Yes	⊠ No	□ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	⊠ Yes	□No	□ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	⊠ No	□ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	☐ Yes	□ No	⊠ N/A	Remarks: Area custodian is a CHP employee.
<ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>				
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair	☐ Yes	{ FORMC HECKB OX □ No	⊠ N/A	Remarks: Area has not contracted for these services exceeding the 30 day limit.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	delicoronic accessor in the	Million and the comment of		
27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	Yes	□ No	⊠ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□No	⊠ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	□No	⊠ N/A	Remarks: Not done at Area level for contracts administered by HQ.
31. Is a computer file prepared for all contracts administered?	☐ Yes	□No	⊠ N/A	Remarks: Not done at Area level for contracts administered by HQ.
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	□No	⊠ N/A	Remarks: Not done at Area level for contracts administered by HQ.
33. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	☐ No	□ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□ No	⊠ N/A	Remarks: No consultant services have been needed.
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□ No	⊠ N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	Yes	⊠ No	□ N/A	Remarks:



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STATE OF CALIFORNIA Command: Division: Number

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command:	Division:	Number:
Antelope Valley	Southern	545
Evaluated by:	Date:	
Lt. A. Witmer	11/10/2008	
Assisted by:		Date:
OSSI Cindy Haywo	11/10/2008	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: ☐ Division Level Command Level ☐ Executive Office Level □ Voluntary Self-Inspection Commander's Signature: Follow-up Required: 10/12/08 Follow-up Inspection X No Yes For applicable policy, refer to: HPM 11.2, Chapter 7 Are participants in the procurement process at the Remarks: command level familiar with the related policies and X Yes □ N/A □ No procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: procurement training? ☐ No □ N/A 3. Are prohibited items procured on CHP 43, Purchases Requisitions? Remarks: Yes ⊠ No  $\prod N/A$ Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet Are separate CHP 43s, Purchase Requisitions, Remarks: prepared for commodity items obtainable from X Yes ☐ No □ N/A different suppliers or from different statewide commodity contracts? Is all required information entered on the CHP 43. Remarks: Purchase Requisition? ☐ No □ N/A Are the CHP 43, Purchase Requisitions, numbered Remarks: consecutively, starting anew at the beginning of each X Yes ☐ No □ N/A fiscal year (July 1)? Are expedited requests for the purchase of goods Remarks: forwarded to the Assistant Commissioner, Staff, for X Yes □ No □ N/A approval?

### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10.	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11.	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□ No	□ N/A	Remarks:
12.	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	□ No	□ N/A	Remarks:
13.	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	⊠ Yes	□No	□ N/A	Remarks: Only Range facilities were obtained vis NCB since no other facilities were available and no corrective action plan needed.
14.	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□ No	□ N/A	Remarks;
16.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks:
17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□No	□ N/A	Remarks:
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□ No	□ N/A	Remarks:

#### **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

Chapter 3, Command Procurements

Purchases

į	Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	☐ Yes	□No	⊠ N/A	Remarks: No cancellations have been required.
i	Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	☐ No	□ N/A	Remarks:
(	Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks; Contained in the requisition book.
C	Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks: Supporting documents are attached to requisitions.
la D	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?	☐ Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
Command: Division:

### OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Division: Antelope Valley Southern		Number: 545		
Evaluated by: Lt. A. Witmer, #11451		Date: 1/20/09		
Assisted by: Officer B. Moya, #10243		Date: 1/20/09		

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Page

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Division Level Command Level ☐ Executive Office Level □ Voluntary Self-Inspection Date: Commanderis Signature: Follow-up Inspection Follow-up Required: 1-20-09 Yes For applicable policy, refer to: HPM 11.1, Chapter 23 Are multiple X Numbers awarded to the same vendor Remarks: to circumvent the \$4,999 contract limit? ☐ Yes X No  $\square$  N/A 2. Does all X Number file documentation contain the Remarkst X Yes □ No □ N/A STD. 204 Pavee Data Record? 3. Do X Numbers requiring a contract (i.e., janitorial or Remarks: landscaping) have prior approval from the Business X Yes □ No □ N/A Services Section commander? 4. Are X Number requests made prior to the date the Remarks: services are performed? X Yes ☐ No □ N/A 5. Are X Numbers issued for a one-time use? Remarks: ☐ No □ N/A X Yes 6. Are prohibited services performed using an X Remarks: ☐ Yes X No □ N/A Number? 7. Are X Numbers used for the procurement of a Remarks: service and not the purchase of a commodity? X Yes □ No □ N/A 8. Are X Numbers issued for telecommunications Remarks: X Yes П № □ N/A related services pre-approved by Telecommunications Section? 9. Do X Numbers used for facilities related services Remarks: X Yes [] No □ N/A (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section? 10. Do X Numbers issued for lapsed contractual Remarks: agreements have prior approval by the appropriate Yes ⊠ N/A □ No Assistant Commissioner?

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small bu vendor contain three price quotations?	isiness 🛛 🖂 Yes	□ No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small busine vendor contain the small business certificatio the Department of General Services (DGS)?	\$55.57 C(n)	□ No	□ N/A	Remarks:
Does the file documentation contain the STD Drug Free workplace certification for X Numb vendors?	140-440 120777	□ No	⊠ N/A	Remarks: Area X Number requests have been for emergency repairs so no STD 21 was obtained due to time limitations.
14. Do emergency service X Numbers document justify the emergency?	and 🛛 Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number se maintained in the command's files?	rvice 🗵 Yes	□ No	□ N/A	Remarks:

### COMMAND INSPECTION PROGRAM

Command: Altadena Area	Division: Southern	Chapter:	
Inspected by: Lieutenant Geletko		Date: 12/29/2008	

EXCEPTIONS DOCUMENT

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.			
TYPE OF INSPECTION		□ Corrective Action Plan Included	
☐ Division Level ☐ Command Level		Appeal Included	
Executive Office Level		Attachments Included	
Follow-up Required:	Forward to: Southern Division	Commander's Signature:	Date:
⊠ Yes □ No	Due Date: 12/31/2008	in	1-5-09
Chapter Inspection:			
Inspector's Comments Rec	garding Innovative Praction	ces:	
The Altedona Area has no	t implemented any innova	ative practices regarding contrac	cts. Cal-Card.

The Altadena Area has not implemented any innovative practices regarding contracts, Cal-Card, X-numbers and purchases.

Command Suggestions for Statewide Improvement:

None.

Inspector's Findings:

The Area is following all policies and procedures regarding "Purchases" as outlined in HPG 22.1.

The Area does not maintain the STD. 21 Drug Free workplace certification for all X-number and Cal-Card vendors. All Cal-Card holders have not received formal training regarding the Department's procurement processes.

The Area has not prepared a computer file for all contracts administered. In addition, the Area has not prepared a spreadsheet listing all expenditures. Notification to the contractor has not been documented for the start date for the services to be performed.

# **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

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Command: Division: Southern		Chapter:
Inspected by:	-	Date:
Lieutenant Geletko		12/29/2008

Annual Process (4. 1. 1. 11. 5) ( int. 5 - 5) but a state of the constituted by	Market State (State State Stat
Appeal Process: (Appeals shall be filed within five (5) business days of the completed cha	ipter inspection).
Commander's Basis for Appeal:	
Appeal Review/Decision: (This shall be the only level of appeal).	

Lead Inspector's Signature:	Date:
Welerto LT #11157	12/29/2008
. esponding Commander's Signature (for appeal):	Date:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Altadena Area	Division: Southern	Number: 575
Evaluated by: Lieutenant Chu	Date: 12/29/2008	
Assisted by: Office Manager Sandra Gutierrez		Date: 12/29/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE C	F INSPECTION	Lead Inspector's Signature					
☐ Div	ision Level	12 0	, ,	1 /-	T # 111-7		
☐ Executive Office Level ☐ Voluntary Self-Inspection			Caleleth 17 #11157				
	ollow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No	Command	er's Signature		Date: 1-5-09		
For ap	oplicable policy, refer to: HPM 11.2, Chapter 3						
1.	Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:		
2.	Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	☐ Yes	⊠ No	□ N/A	Remarks: The STD. 21 certification was not included in the file documentation for each vendor		
3.	Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	⊠ Yes	☐ No	□ N/A	Remarks		
4.	Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	☐ Yes	⊠ No	□ N/A	Remarks:		
5.	If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠ Yes	☐ No	□ N/A	Remarks:		
6.	When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	☐ Yes	□No	⊠ N/A	Remarks: The Area purchases the least expensive item when several selections are available.		
7.	Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:		
8.	Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□No	□ N/A	Remarks:		
9.	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	☐ No	□ N/A	Remarks		

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card L and maintained?	og properly authorized	⊠ Yes	□No	□ N/A	Remarks:
11. Are credit invoices/receipts maintained with the bank s		⊠ Yes	□No	□ N/A	Remarks:
12. Do non-itemized purchase document the purchase by quantity, and unit price of the bank statement.	listing the commodity,	☐ Yes	□ No	⊠ N/A	Remarks: All purchase receipts/invoices are itemized
13. Are Cal Cards maintained	in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pr commander?	e-approved by the	⊠ Yes	□No	□ N/A	Remarks: The Commander pre- approves purchases and Division is contacted prior to the actual purchase if any question exists.
15. Have all cardholders received Department's procurement		☐ Yes	⊠ No	□ N/A	Remarks: All cardholders have not received formal training.
16. Are item(s) purchased with by departmental policy?	the Cal Card prohibited	Yes	⊠ No	□ N/A	Remarks

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command:	Division:	Number:
Altadena Area	Southern	575
Evaluated by:		Date:
Lieutenant Chuck Geletko		12/29/2008
Assisted by: Office Manager Sandra	Gutierrez	Date: 12/29/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION (Welerd LT #-11157 Command Level Division Level ☐ Voluntary Self-Inspection Executive Office Level Commander s/Signature: Follow-up Required: Follow-up Inspection 1-5-09 Yes No. For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Remarks: X Yes □ N/A ΠNο command level familiar with the related policies and procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: □ No □ N/A procurement training? 3. Are prohibited items procured on CHP 43, Purchases Remarks: ☐ Yes ⊠ No N/A Requisitions? Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions, Remarks: □ N/A prepared for commodity items obtainable from X Yes □ No different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: □ N/A ⊠ Yes ΠNo Purchase Requisition? 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: □ No □ N/A consecutively, starting anew at the beginning of each fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: Expedited requests are □ N/A forwarded to the Assistant Commissioner, Staff, for ☐ Yes ⊠ No forwarded to Southern Division. approval?

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

	8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	☐ No	□ N/A	Remarks:
	9	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
	10	. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
	11.	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks:
	12.	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□No	⊠ N/A	Remarks:
	13.	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	☐ No	⊠ N/A	Remarks:
	14.	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
	15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks
	16.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	☐ Yes	⊠ No	□ N/A	Remarks: The freight and/or packing slips are attached to the CHP 43.
	17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	☐ Yes	⊠ No	□ N/A	Remarks: Attached to the CHP 43
		Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	☐ Yes	⊠ No	□ N/A	Remarks: Attached to the CHP 43,
ı	19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□No	□ N/A	Remarks:
					1	

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) noti immediately by telephone, followed in v by a memorandum or e-mail, requestin of the requisition or deletion of an item, determined that a commodity requested is no longer needed and a purchase or yet been prepared?	vriting either g cancellation if it is d on a CHP 43	⊠ Yes	□No	□ N/A	Remarks:
21. Are open purchase orders periodically investigated to ensure the orders are not an unreasonable length of time. (SAM §	ot opened for	⊠ Yes	□No	□ N/A	Remarks:
22. Are copies of the purchase requisitions orders maintained for three years after (SCM Vol. II, Ch. 11, Topic 4)		⊠ Yes	□No	□ N/A	Remarks.
23. Are decisions documented to create a produce documenting the basis of the decisions purchase? (SCM Vol II Ch. 2, Topic 11)	made for the	⊠ Yes	□No	□ N/A	Remarks
24. Are purchase orders split to evade combidding requirements or to circumvent to Department's delegated purchase author (Public Contracts Code Section 10329)	he '	☐ Yes	⊠ No	□ N/A	Remarks

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM SPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division:	Number.
Altadena Area	Southern	575
Evaluated by:		Date:
Lieutenant Chuck Geletko		12/01/2008
Assisted by: Office Manager Sandra	Gutierrez	Date: 12/01/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE O	FINSPECTION		Lead Inspe	ctor's Signatu	ıre:	
☐ Divi	sion Level	□ Command Level	00	. 4	, ,-	- H,1167
☐ Executive Office Level ☐ Voluntary Self-Inspection			Colletto LT. #11157			
	llow-up Required:	Follow-up Inspection	Commande	er's Signature		Date: /- 5-09
$\boxtimes$	Yes No		1			1-5-07
For ap	plicable policy, refer to:	HPM 11.1, Chapter 23				
1.	Are multiple X Numbers to circumvent the \$4,999	awarded to the same vendor contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:
2.	Does all X Number file d STD. 204 Payee Data R	ocumentation contain the ecord?	⊠ Yes	☐ No	□ N/A	Remarks:
3.		a contract (i.e., janitorial or approval from the Business ander?	⊠ Yes	□ No	□ N/A	Remarks:
4.	Are X Number requests services are performed?	made prior to the date the	⊠ Yes	□No	□ N/A	Remarks:
5.	Are X Numbers issued for	or a one-time use?	⊠ Yes	□ No	□ N/A	Remarks:
6.	Are prohibited services p Number?	erformed using an X	☐ Yes	⊠ No	□ N/A	Remarks:
7.	Are X Numbers used for service and not the purch		⊠ Yes	□ No	□ N/A	Remarks
8.	Are X Numbers issued for related services pre-app Telecommunications Sec	roved by	⊠ Yes	□No	□ N/A	Remarks:
9.	Do X Numbers used for to (such as roof repair, elect have prior approval from	trical) costing over \$1,000	⊠ Yes	□ No	□ N/A	Remarks:
10.	Do X Numbers issued fo agreements have prior a Assistant Commissioner	pproval by the appropriate	☐ Yes	⊠ No	□ N/A	Remarks: Area obtains approval from Facilities Section.

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM SPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a vendor contain three price quot		⊠ Yes	□No	□ N/A	Remarks:
<ol> <li>Do all X Numbers awarded to a vendor contain the small busine the Department of General Ser</li> </ol>	ess certification from	·⊠ Yes	□ No	□ N/A	Remarks:
13. Does the file documentation co Drug Free workplace certification vendors?		☐ Yes	⊠ No	□ N/A	Remarks: The STD 21 certification was not included in the file documentation for each vendor.
14. Do emergency service X Numb justify the emergency?	ers document and	⊠ Yes	☐ No	□ N/A	Remarks:
15. Is the itemized invoice for each maintained in the command's fi		⊠ Yes	☐ No	□ N/A	Remarks:

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### OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Altadena Area	Division: Southern	Number: 575	
Evaluated by: Lieutenant Chuck Geletko		Date: 12/29/2008	
Assisted by: Office Manager Sa	Date: 12/29/2008		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Welerch LT #11157 Division Level Command Level ☐ Voluntary Self-Inspection ☐ Executive Office Level Commander's Signature: Follow-up Inspection Follow-up Required: X Yes No For applicable policy, refer to: HPM 11.1, Chapter 22 1. Is a CHP 78 Contract Request used to initiate all Remarks: □ N/A □ No service contracts which are repetitive, regardless of the estimated dollar value? Is a CHP 78 Contract Request used for one-time Remarks: □ N/A services exceeding \$4,999.99? ⊠ Yes □ No Is the Office of Primary Interest (OPI) tracking Remarks: numbering beginning with the requesting command □ No □ N/A three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? Is the performance of contract services monitored Remarks:  $\square$  N/A □ No and documented? 5. Are all copies of correspondence with the vendor Remarks: X Yes No N/A maintained? Are letters for contracts documented and maintained Remarks: □ N/A X Yes □ No which outline any problems related to substandard or non-performance of the vendor? 7. Is the final product to be delivered described Remarks: □ N/A X Yes ☐ No specifically and in as much detail as possible in the CHP 78? Are all required levels of approval/signature obtained, Remarks: □ N/A ⊠ Yes □ No including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?

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### OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

	9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	⊠ Yes	□ No	□ N/A	Remarks:
	10	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
	11.	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
	12.	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	☐ No	□ N/A	Remarks:
j	13.	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	☐ No	□ N/A	Remarks:
	14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
	15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:
	16.	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks
	17.	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
8	18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
	19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□No	□ N/A	Remarks:
1	20.	Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	⊠ No	□ N/A	Remarks:

## OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

21. Is the length of the contract amendment request more than one year?	Yes	⊠ No	□ N/A	Remarks;
22. Are amendments requested before the expiration of the original contract?	⊠ Yes	□No	□ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	⊠ Yes	☐ No	□ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	⊠ Yes	□No	□ N/A	Remarks:
<ul> <li>25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:</li> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janilorial Services</li> <li>(5) Consulting Services</li> </ul>	⊠ Yes	□No	□ N/A	Remarks:
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (interior of facility) (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	⊠ Yes	□ No	□ N/A	Remarks:

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Chapter 3, Command Procurements Contracts

27	7. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	☐ No	□ N/A	Remarks:
28	B. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks
29	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	☐ No	□ N/A	Remarks:
30	. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	☐ No	□ N/A	Remarks
31	. Is a computer file prepared for all contracts administered?	☐ Yes	⊠ No	□ N/A	Remarks:
32	. Is a spreadsheet prepared listing all expenditures?	☐ Yes	⊠ No	□ N/A	Remarks:
33	. Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	⊠ No	□ N/A	Remarks:
34	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks:
35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	⊠ Yes	□ No	□ N/A	Remarks:
	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	⊠ Yes	□ No	□ N/A	Remarks:
37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks:
38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	⊠ Yes	☐ No	□ N/A	Remarks:
39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks: